

U.S. Department of Energy
Washington, D.C.

ORDER

DOE O 135.1A

Approved: 1-9-06

SUBJECT: BUDGET EXECUTION—FUNDS DISTRIBUTION AND CONTROL

1. **OBJECTIVE.** To describe Department of Energy (DOE) systems, requirements, and assignment of responsibilities for the control of the Department's budget execution process to include—
 - a. establishing and maintaining the base table;
 - b. obtaining apportionments from the Office of Management and Budget (OMB), and appropriation warrants from the Department of the Treasury;
 - c. issuing approved funding programs (AFPs) and allotments; and
 - d. processing reprogramming, restructuring, appropriation transfer, rescissions, and deferrals relating to the appropriation accounts of DOE, including the National Nuclear Security Administration (NNSA).
2. **CANCELLATION.** DOE O 135.1, *Budget Execution—Funds Distribution and Control*, dated 9-30-95. Cancellation of an Order does not, by itself, modify or otherwise affect any contractual obligation to comply with the Order. Canceled Orders that are incorporated by reference in a contract remain in effect until the contract is modified to delete the references to the requirements in the canceled Orders.
3. **APPLICABILITY.**
 - a. **Departmental Elements.** Except for the exclusion in paragraph 3c, this Order applies to all Departmental elements that have responsibility for management and execution of Departmental or NNSA budgets (see Attachment 1). This Order automatically applies to organizations created after it is issued.

The NNSA Administrator will assure that NNSA employees comply with requirements of this Order, consistent with requirements of Public Law (P.L.) 106-65, National Nuclear Security Administration Act (Division C, Title XXXI of the National Defense Authorization Act of 2000) and NNSA business operating procedures.
 - b. **DOE Contractors.** None.
 - c. **Exclusion.** Bonneville Power Administration.
4. **REQUIREMENTS.**
 - a. Overall budget execution activities related to the control and distribution of funds will be conducted in accordance with requirements defined in DOE

M 135.1-X Budget Execution—Funds Distribution and Control Manual, dated 1-9-06.

- b. A base table will be prepared and submitted quarterly to the appropriate congressional committees. All funds distributed throughout DOE by the allotment and AFP processes will be limited to the amounts specified in the base table.

5. RESPONSIBILITIES.

a. Chief Financial Officer.

- (1) Establishes and maintains the DOE base table and submits it quarterly to the appropriate congressional committees.
- (2) Ensures that appropriate controls are transmitted to the DOE and NNSA organizations that will execute the program funds.
- (3) Requests apportionment of funds from OMB and submits reapportionment requests to OMB when necessary.
- (4) Requests Department of the Treasury issuance of appropriation warrants when necessary and records receipt of warrants.
- (5) Provides staff review, approval, and issuance of all AFPs.
- (6) Prepares and issues allotments that are within the availability of authority and/or funds provided by appropriations, apportionments, reimbursements, and other means.
- (7) Concurs in all proposed deferrals and rescissions initiated by DOE and monitors all deferrals after they are reported to OMB.
- (8) Manages requested changes to congressional control levels by determining whether a proposal for reprogramming, restructuring, or appropriation transfer is appropriate; obtaining staff concurrence; notifying OMB and congressional committees as necessary; and placing in AFP reserve funds proposed for reprogramming or appropriation transfer.

- b. Assistant Secretary for Congressional and Intergovernmental Affairs will concur on reprogramming, restructuring, and appropriation transfer proposals.

- c. General Counsel will concur on reprogramming, restructuring, and appropriation transfer proposals, as required.

- d. Heads of DOE Elements will adhere to funds control processes and procedures defined in DOE M 135.1-X.

- e. Deputy Administrator, NNSA will adhere to funds control processes and procedures defined in DOE M 135.1-X.
 - f. Assistant Secretary for Policy will concur on reprogramming, restructuring, and appropriation transfer proposals, as required.
 - g. Heads of Field Elements and NNSA Field Financial Manager.
 - (1) Maintain current programs and funding baselines for budget execution.
 - (2) Ensure that significant changes in budget execution are coordinated through the cognizant Secretarial Officer or NNSA Deputy Administrator before implementation.
 - h. Allottees.
 - (1) Execute programs under their administrative control in accordance with an AFP, which accompanies the Advice of Allotment.
 - (2) Adhere to all legal limitations annotated on the Advice of Allotment (amount, purpose, time of availability, etc.) for funds contained therein.
6. CONTACT. Office of Budget, Funds Distribution and Control Team, 301-903-1651.

BY ORDER OF THE SECRETARY OF ENERGY:



CLAY SELL
Deputy Secretary

DEPARTMENTAL ELEMENTS TO WHICH DOE O 135.1A IS APPLICABLE

Office of the Secretary
Departmental Representative to the Defense Nuclear Facilities Safety Board
Energy Information Administration
National Nuclear Security Administration
Office of the Chief Financial Officer
Office of the Chief Information Officer
Office of Civilian Radioactive Waste Management
Office of Congressional and Intergovernmental Affairs
Office of Counterintelligence
Office of Economic Impact and Diversity
Office of Electricity Delivery and Energy Reliability
Office of Energy Efficiency and Renewable Energy
Office of Environment, Safety and Health
Office of Environmental Management
Office of Fossil Energy
Office of General Counsel
Office of Hearings and Appeals
Office of Human Capital Management
Office of the Inspector General
Office of Intelligence
Office of Legacy Management
Office of Management
Office of Nuclear Energy, Science and Technology
Office of Policy and International Affairs
Office of Public Affairs
Office of Science
Office of Security and Safety Performance Assurance
Secretary of Energy Advisory Board
Southeastern Power Administration
Southwestern Power Administration
Western Area Power Administration